

State of Iowa IT Project Request # 14

Enterprise Content Management (ECM)

DAS

ITE

I/3

Steven Larson

(515) 725-2086

Steven.Larson@iowa.gov

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Document Purpose: This document is to be completed when there is an identified need and tentative plan to initiate a project. Funding may not have been identified for the project yet (seeking IOWAccess funding, waiting on legislative decision or grant award). The Project Request is submitted to the TCC IPSC to gain support for the project and identify if there are existing applications or application components that can leveraged for the proposed project. This document is intended to answer high level questions about the project as details about total cost, timeframe and quantified benefits are not known as this document is expected to be completed during project planning. Submit this document to: xxxxx@iowa.gov TCC approval of this document results in the permission to proceed with project planning. Agency may be directed to complete the Project Execution Request before issuing an RFP or beginning internal development work.

Project Summary

Project Name: Enterprise Content Management (ECM)

Problem Statement:

A Kaizen event co-sponsored by the DOM and DCA, held the week of March 4th, 2013 identified the fact that there is no room remaining for physical records storage. A need was recognized for Electronic Content Management as a service across the Executive Branch. It was recommended that a pilot project be started and designed in such a way that it can be expanded for use by other State agencies.

Within the State's financial system, known as Integrated Information for Iowa (I/3), users need to store invoice related data in the I/3 financial system. Our current technology stores these image files in the relational database as Binary Large Objects (BLOBS). These BLOBS are not treated the same as other data in the database and have a negative impact on performance. Currently several types of documents are physically stored and their storage requires substantial storage space and physical handling. As the largest single user of records storage, it makes sense for I/3 to pilot a means of reducing the paper sent to storage. I/3 needs an ECM solution to address these issues and also improve productivity through automated processes.

Project Description:

I/3 desires to procure an Enterprise Content Management (ECM) solution that can accept documents in many formats, read them, extract metadata and allow for workflow of these electronic files in a data repository, as well as provide easy to use records management.

Though I/3 is the first application for this ECM initiative, this request is for a system with robustness to be expanded to other State agencies. With that goal in mind the RFP covers needs beyond the initial implementation, and is requesting information on features (such as eDiscovery, email, GIS, etc.) that may or may not be used in the future depending on how State agencies choose to use the system. This project will ultimately address how the Executive Branch manages records with the end result providing increased productivity due to less manual processing; increased transparency and efficiency in responding to public requests for records.

What are your success criteria?

- Users will be able to access:
 - Data more quickly (as opposed to using a physical filing system in many cases)
 - Archived records
- Improved I/3 system responsiveness due to separation of image data from the relational database.
- Electronic workflow to allow for faster, more efficient processing of documents.
- Fewer physical records sent to be stored.

Are you aware of any potential solutions?

1. Purchase an ECM to make available as a service to state agencies; this would allow for:
 - a. Economies of scale.
 - b. Agencies not having ECM, to better capture their data and gain efficiency's from the ECM workflow.
 - c. Agencies that have their own ECM's will be able to link or upgrade to the service.
2. Do nothing
 - a. This will negatively affect I/3, as storing large quantities of BLOBS in the relational database slow system response times.
 - b. The State has no physical storage space left for records storage.
 - c. It is recognized that the future of records management involves the use of electronic records management systems and the manual handling is inefficient and costly.
 - d. Allow agencies to continue to approach ECM from an ad-hoc approach, not gaining synergies between agencies & technologies.

Benefits Summary

- Iowa and Federal Record Management rules will be programmatically enforced.
- More efficient records storage that is not in a flood plain and is "infinitely" expandable.
- Access to sensitive data will be better managed, with access being logged.
- Potential for process improvements due to automated electronic workflow.
- Prevention of degradation of I/3 performance due to DB bloat.
- Possible efficiencies by handing data input through e-forms rather than having constituents print and mail forms to the State.

Project Impact:

I/3 is the biggest contributor of records to be stored to the State of Iowa Records Storage Center which is out of physical records storage space and lies in a flood plain.

If not approved:

- I/3 systems will see increasingly deteriorating performance as BLOB data is stored in the relational database.
- In an emergency, Iowa Prison Industries may move boxes of records full of sensitive data from records storage.
- Many current agency level records management storage are based in physical files and is labor intensive.

Project Technology:

- Enterprise Content Management System (ECM)
- Document scanning (Imaging)
- Intelligent Data Recognition (IDR)
- Optical character recognition (OCR)
- Optical mark recognition (OMR)
- Federated Search abilities
- Multiple Workflows

Project Type: Maintenance _____ New _____ Multi-phased X

Maintenance is a work to be completed on an existing software or hardware asset. Examples: migrating all agency applications to MS SQL 2012; updating a specific application to be 508 compliant and improve accessibility;

New is a project that has a single phase. Examples: Rewrite a client server application into a web application; Replace an MS Access application with a client server application and SQL database; Create a new application to meet a new federal or state initiative.

Multi-phased is a new project with multiple phases or the subsequent phase of a project already implemented. Example: The project is intended in Phase 1 to implement the web application, Phase 2 will add epayment and a mobile application and Phase 3 will expand application to another program area.

External/Internal Urgency:

I/3 has had funds for the pilot project for some time, but for various reasons it has been delayed. We need to use the allocated funds for this project before they revert

Funding Summary

Estimated total Project Costs:

Under 50k _____	50 to 100k _____	100-500k _____	500k to 2 million _____
2M to 5M <u> X </u>	Over 5M _____	Unknown _____	

Funding Source:

Pilot would initially be funded through existing I/3 Utility Fees.

Project Sustainability

- Initial costs would be come from current I/3 Utility fees.
- Expansion would be covered by fees from participating departments as utility fees or market place services.
- Costs are dependent on accepted solution but would most likely include:
 - a. Software licenses
 - b. Hardware
 - c. Salaries (both FTE and Contractors)
 - d. Vendor fees

Risk Assessment

- Data security:
 - Must be cognizant of State of Iowa and Federal data security requirements taking all necessary steps to minimize possibilities of data breach.
- Resistance to change:
 - Design the system to accommodate the needs of as many departments as possible.
 - Ensure that training is part of the RFP.
 - Administrative backing.
- Some departments will need legislative changes to allow full use of electronic workflow and document storage.
 - Departments will request legislative changes to allow for electronic signatures.

Recommendations and Approvals *[Will be completed during the review process]*

Recommendation of the State CIO to the DAS Director:

Authorize this IT procurement Yes X No ____

Alternatives suggested by the State CIO Yes ____ No X

Additional comments from the State CIO:

TEC recommends approval, each stage of project to return to TEC with progress updates, CIO subsequently approved.

DAS Director's action:

Authorize this IT procurement Yes X No ____

DAS Director's signature and date:

The above IT procurement concept approved by Director Carroll on 7/24/13

Comments: **None.**